

09/04/03  
16179 U.S. PTO

19704 U.S. PTO  
10/655409  
09/04/03

<b>PATENT APPLICATION TRANSMITTAL</b> (37 CFR §1.53(b) Continuation, Divisional, or CIP)		Atty Docket No.: 10269/20		Total Pages: 54	
		First Inventor or Application Identifier: Keiser			
		Express Mail Label No.: EV 330372220 US			

**MAIL STOP PATENT APPLICATION**  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Kindly file the annexed papers indicated below:

- ☒ Application for Patent including Specification (23 pages) and Drawings (4 sheets, Figs. 1-6) is enclosed.
- ☒ For a continuation application, the entire disclosure of the prior application, for which a declaration is supplied, is considered a part of the disclosure of the accompanying continuation or divisional application, and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.
- ☒ Preliminary Amendment (21 pages).
- ☒ Copy of Declaration and Power of Attorney (3 pages).
- ☒ For a continuation or divisional application, a copy of the executed oath or declaration filed in the prior application, showing the signature or an indication thereon that it was signed, is submitted.
- ☒ Return Receipt Postcard

The fee has been calculated as follows:

	Claims	Claims Paid for	Extra	Rate (Sm. Ent.)	Fee	Rate	Fee
<b>BASIC FILING FEE</b>				\$ 375	\$375	\$ 750	
Total	77	- 20 =	57	x \$9	\$513	x \$18	\$
Indep.	6	- 3 =	3	x \$42	\$126	x \$84	\$
<b>MULTIPLE DEPENDENT CLAIM PRESENT</b>				+ \$140	\$0	+ \$280	\$
<b>TOTAL</b>					<b>\$1,014</b>		<b>\$</b>

☒ Check in the amount of \$1,014.00 to cover the filing fee.

The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to the undersigned attorney's Deposit Account No. 02-4270.

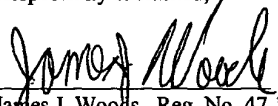
☒ This is a continuation application of the U.S. patent application identified below:

First Inventor	: Timothy M. Keiser et al.
App. No.	: 09/465,607
Filed	: December 17, 1999
Title	: COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION
Examiner	: Clement B. Graham
Group Art Unit	: 3628

**Correspondence address: Use Customer Number 29858.**

Dated: 9/4/03

Respectfully submitted,

  
 James J. Woods, Reg. No. 47,184  
 Brown Raysman Millstein Felder & Steiner LLP  
 Attorney for Applicants  
 900 Third Avenue  
 New York, New York 10022  
 Phone: (212) 895-2000 Fax: (212) 895-2900